

ADMINISTRATIVE - INTERNAL USE ONLY

Approved For Release 2001/08/02 : CIA-RDP82-00357R000800180048-7
LEADERSHIP AND EXECUTIVE DEVELOPMENT, PMMP AND PERSONNEL PRODUCTIVITY

Previous Recommendation(s)	Action(s) Yet to be Taken	Suggested Due Date(s)
<p>I. <u>Para. 2, ExDir-Compt Memo dtd 13 June 72, subj: Leadership and Executive Development -- Develop specifics in ED briefing paper per effort to integrate overall process in PMMP.</u></p> <p>ED briefing paper calls for the following:</p> <p>A. ExDir-Compt and Deputy Directors (as designated members of EMRB) to establish ED policy, approve systems for uniform administration, and receive information on results.</p> <p>B. In lieu of formalized individual career plans, establish Agency system for <u>individualized planning</u> of the developmental needs of executive incumbents (GS-16 and above). Identify personnel (GS-13 and above) with high potential for executive positions.</p>	<p>A. Deputies have already discussed ED paper. Later on, they should review results of actions suggested elsewhere in this paper.</p> <p>B. Using the PMMP process, each career service identify turnover during next four years in executive positions. Each career service should define special qualifications needed for effective performance in each executive position. It should identify a suitable number of promising replacements (2 or more) and ascertain specific developmental needs of such individuals. (Those identified in Grades GS-13 and GS-14 should have the judged potential to advance two or more grades and employees in Grades GS-15 and GS-16 should have the potential to advance one or more grades.)</p> <p>Each career service combine proposed executive developmental actions into an Executive Training Inventory and an Executive Developmental Assignment Inventory. These Inventories should be kept separately from Developmental Assignment and Training Inventories applicable to other personnel in the career service.</p>	<p>B. Mid-Sept. 1972. (May not allow time for evaluation of data before 30 Sept., the due date of next report to CSC. However, feel any earlier deadline would not be realistic.)</p>

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<p>C. Establish mobility programs pursuant to third Federal ED Guideline. [Since much development is accomplished best on the job, departments and bureaus should have organizational occupational mobility programs to support their executive development programs</p> <p>) To gain the benefits of mobility there must be a systematic approach based</p> <p>) on individual development plans."7</p>	<p>C. OP Memo dtd 5 May 72, Mobility and Rotation, recommended actions to meet Federal Guideline and Director's wish to achieve increased mobility of executives and employees across Directorate lines when in Agency's interest. Actions to be taken are:</p> <ol style="list-style-type: none"> 1. Encourage rotation of professionals within or outside career service by requiring each career service to prepare a rotation plan, for attachment to Career Service Situation Report, required by PMMP; submit to DD concerned. 2. To facilitate systematic arrangement of desired rotational training and assignments, instruct each career service to prepare a model or guide of kinds of desired job and training experiences that generalist and technical officers should generally receive at junior, mid and senior levels. 3. Direct each Career Service Head to annually review actual movement of individual careerists versus the rotation plan and report on results to DD concerned. 	<ol style="list-style-type: none"> 1. Mid-Sept. 1972 or ASAP thereafter for individuals GS-13 and above selected for executive development during 1972 or 1973. End of Nov. 1972 for other employees identified for some form of rotation in FY 1972 or FY 1973. 2. End of Nov. 1972. 3. Submit initial report in April 1973.

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<p>D. Provide increased exposure of individuals with judged potential for executive positions to a situational management training workshop on human relations, information sciences, traditional management functions, etc. This concept focuses on the management training of employees in the Grades GS-13 and GS-14 at the time they are being groomed for possible movement into senior and executive positions.</p> <p>E. Conduct ED program evaluation.</p>	<p>4. Authorize each Career Service Head to seek assistance of D/Pers when necessary to work out rotation plans cutting across career service lines including waiver by D/Pers of ceiling and slotting requirements, up to one year, in order to achieve rotational action.</p> <p>5. Authorize each Career Service Head with concurrence of DD concerned to obtain employee outside career service when needed to fill priority requirement. Permit appeal of cases unresolved by Deputies concerned to ExDir-Compt, with D/Pers findings and recommendations. [This proposal applies to professionals of all grades but is a desirable means of effecting needed rotation of executives or officers being developed for future executive positions.]</p> <p>D. Action contingent upon development of an intensive management applications course, recommended in ED proposal as a device for executive development.</p> <p>E. Defer until accepted elements of ED and PMMP programs as outlined herein are implemented within career services and results forwarded.</p>	<p>4. Anytime after announcement of program.</p> <p>5. Ditto</p> <p>D. To be decided later.</p> <p>E. To be decided later.</p>

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<p>II. Para. 3, ExDir-Compt Memo dtd 13 Je 72, subj: Leadership and Executive Development -- Particularly desire ways of achieving senior officer /Deputies/ attention to the problem of identifying individuals for development programming, including intensive responsibilities and assignments, rotations and training. Wish to separately review the nominations of the Deputies and thereafter to review overall program in Deputies' Meeting.</p> <p>A. Although FMMP proposal contemplates the transmission of Career Service Situation Reports to the Deputies and ED proposal envisages periodic reviews by the EMRB relative to ED progress, personal participation by the Deputies in the selection and development of individuals was not provided for in either proposal.</p>	<p>A. Arrange for Deputies to annually review and discuss with each Career Service Head the following:</p> <ol style="list-style-type: none"> 1. Estimated turnover in executive positions; individuals selected as prospective replacements; and planned developmental actions for such individuals, as contained in the Career Service Executive Training and Assignment Inventories. (See Para. IB above.) 2. Career Service Rotation Plan for executive incumbents and individuals selected for executive development. 3. Discussion of general development, rotation and assignment plans within career service for professional personnel slated for development in positions below executive level /important to long-range executive development/. <p>B. Arrange for each Deputy to submit Directorate executive development plan (individual training, assignment and rotation proposals) for discussion with ExDir-Compt.</p>	<p>A. Early Nov. 1972.</p> <p>B. Dec. 1972.</p>

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<p>III. Para 2, ExDir-Compt Memo dtd 6 Je 72, subj: PMMP -- PMMP is aimed at career services. It is essential to ensure full participation of Deputies in command sense if PMMP is to succeed in its purpose.</p>	<p>C. In accordance with Para. 1C5 above, each Deputy should participate in the negotiation of individual requests for the movement across Directorate lines of executive incumbents and employees judged to have executive potential.</p>	<p>C. As cases arise.</p>
<p>A. See Para. II above for discussion of involvement by Deputies in PMMP as it relates to ED.</p> <p>B. The Career Service Situation Report (CSR) is designed to be a critical assessment by each Career Service Head of major personnel issues and problems, as disclosed in the PMMP survey. Addressees of these reports are the Deputy Directors concerned who should not only study the written report but discuss them afterwards with the Career Service Heads. The PMMP process, as originally endorsed by the Deputies in their Executive Committee meeting, also provides for a Directorate-wide CSR to be prepared by each Deputy and forwarded to the ExDir-Compt for a discussion with him. The PMMP plan likewise calls</p>	<p>A. See Para. II for discussion of suggested actions by Deputies in ED aspects of PMMP.</p> <p>B. Although the PMMP process is adaptable to ED requirements, it is principally used to establish a profile of personnel flows in the coming fiscal year; estimate future turnover in Grades GS-11 and above during a four-year period; determine promotional headroom needed in each of the Grades GS-11 and above during the same time span; and identify the personal developmental needs of all professional careerists with the capacity to develop one or more grades (as judged by each career service in an individualized review of the strengths and weaknesses of their careerists). Para. 1B suggests a due date of mid-Sept. for completion of ED portion of PMMP effort. Two more months should be given the career services to handle rest of PMMP job and prepare Career Service Situation Report for submission and discussion with Deputy concerned.</p>	<p>A&B. <u>Career Service Dates</u></p> <p>Mid-Sept. 1972 -- completion of ED portion of PMMP survey.</p> <p>Mid-Oct. 1972 -- forward results to Deputy concerned including ED Training and Assignment Inventories and Roster of Names of employees GS-13 and above selected for executive development.</p> <p>End of Oct. 1972 -- finish PMMP survey (in Grades GS-11 and above).</p> <p>End of Nov. 1972 -- prepare and forward CSR to Deputy Director concerned.</p> <p>A&B. <u>Deputy Dates</u></p> <p>Early Nov. 1972 -- review ED plans of each Career Service Head with him.</p> <p>Beginning Dec. 1972 -- forward Directorate ED plan to ExDir-Compt.</p>

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<p>for the Deputies and the ExDir-Compt to meet on the Agency-wide personnel policy and program implications of the Directorate CSR's. (D/Pers to assist in this agenda item.)</p>		<p>Between mid and end of Dec. 1972 -- meet with ExDir-Compt and other Deputies as EMRB in a discussion of Agency-wide ED plan. End Dec. 1972 -- prepare Directorate CSR and forward to ExDir-Compt. Jan. 1973 -- meet with ExDir-Compt on Agency-wide implications of Directorate CSR's.</p>
<p>IV. Paras. 3 and 10, ExDir-Compt Memo dtd 6 Je 72, subj: PMMP -- Forms attached to pressures faced by career services and Directorates. However, average grade planning, separation and promotion rates, entrance-on-duty, use of QSI's, acceptance into career service, etc. could be included. PMMP may be the vehicle for an annual planning of personnel programs of major importance.</p> <p>A. Staffing Profile, PMMP Form 3, calls for the projection of planned promotions to each grade; estimated number of separations in each grade; reassignments in and out of each grade; and EOD's in each grade. The latter will provide the parameters for deciding how many applicants should be brought in (by types and occupational categories, as shown in the Advanced Staffing Plan). The Staffing Profile is an important planning tool, because it interrelates probable</p>	<p>A. Action could be taken to include average grade limits within the Staffing Profile of PMMP, in addition to the proposed insertion of expected ceiling changes. We went through this kind of exercise when faced with a possible percentage reduction in average grade. If and when the Agency is required to meet a specific average grade reduction, the Staffing Profile of the PMMP is a proper vehicle. Acceptance in career status and use of QSI's (along with several other personnel actions) could be included as appendices to the Career Service Situation Reports, but they do not relate per se to the PMMP system.</p>	<p>PMMP analyze some statistical</p>

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<p>inputs, outputs and promotions and thus provides a blueprint of possible managerial choices that can be made in response to expected personnel flows into, within and out of a career service. Without such a guide, personnel decisions are apt to be more fragmentary and unrelated.</p> <p>As modified, PMMP is a means of <u>systematically taking certain actions throughout the Agency</u> (projecting turnover; identifying developmental needs; accomplishing succession planning; and examining the probable interactional effects and constraints of EOD's, internal assignments, promotions, ceiling increases or decreases, and separations). It also provides a vehicle for divulging basic plans and developments in these areas to the Deputies so that they can consider career service approaches from a Directorate standpoint and monitor results against proposed plans.</p>	<p>B. We should try to sort out the essential elements of an integrated, quality personnel action and review system; strengthen existing structures and processes in the light of current emphases and needs; and create new approaches to fill observable gaps in personnel planning and program evaluation. It was for this reason that PMMP and ED were added to existing personnel mechanisms and arrangements such as the career services, the IG's activities, program allocation of human resources, classification and salary determinations, employee qualification reviews, ceiling and average grade controls, and management improvement programs.</p> <p>Two aspects of personnel management need a more systematic Agency review: differing personnel programs and methods in use within the career services and a better measure of personnel utilization. As a start towards achievement of the latter, the Office of Personnel and personnel officers in the components should jointly develop the information requested in the attached Personnel Utilization Survey (Professional and Clerical),</p> <p>7</p>	<p>B. Aug.- Nov. 1972.</p> <p>STATINTL</p>

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<p>Other systems than PMMP must be used, however, to ensure a quality personnel management program throughout the Agency and realize the desired objective of having each career service plan and analyze its personnel programs of major importance. PMMP will contribute to but not guarantee success in accomplishing the following: motivating the work force; fully and productively utilizing people; realizing major management improvements and savings; and uniformly following, in the career services and Directorates, those approaches to personnel management that are desired by senior officials, such as counseling, employee evaluations, employee recognition, QSI and honor award administration, and supervisory guidance. Nor will PMMP provide a system for determining whether or not established personnel policies, processes and systems are being adequately carried out throughout the Agency.</p>	<p>Although we could refine future surveys in the light of experience gained, responses to the attachment should contribute to the broader Agency effort to increase productivity, especially with regard to the Director's expressed concern about the interrelationship between motivation of personnel and their productivity (noted in ExDir-Compt Memo dtd 12 Je 72, subj: Evaluation and Productivity).</p> <p>It would be helpful also to elicit basic information about career service activities and program effectiveness. The Career Service Questionnaire, previously developed by OP, should be used by the OP staff and component personnel officers in building up a basic data base on personnel programs in the career services. This information should then be analyzed by OP preliminary to appropriate discussions of basic problems and preferred approaches with the Deputies and the ExDir-Compt.</p> <p>There are a number of elements concerning personnel program effectiveness that could be considered in future deliberations regarding the problem of personnel productivity raised by the ExDir-Compt in his memo to the IG dtd 13 Je 72 on Evaluation and Productivity. They include the following:</p> <ol style="list-style-type: none"> 1. Possible personnel changes other than increases that would help achieve priority goals and objectives in program call. 2. Possible organizational realignments of personnel that would help achieve priorities. 	

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<p>The Career Service Situation Report in PMMP is an attempt to isolate major problems and concerns arising from the systematic reviews called for in PMMP. Additional reporting items could be added to it, but efforts to improve the quality of personnel management should entail uniform actions as well as reportings. Such actions should be encouraged throughout the Agency by the provision of appropriate systems that contain procedural steps, guidances, criteria and evaluation methods.</p>	<ol style="list-style-type: none"> 3. Possible savings in personal services and their disadvantages. 4. Recurring peak production and lag periods; effects upon morale; and ways of solving serious ones. 5. Possible utilization of a different mix of clericals and professionals or a different level of professional skills, to improve morale while still getting the job done properly. 6. Possible means of greater involvement of young and middle officers in the decision-making process including less layering and less pre-emption by more senior officers of tasks assigned to more junior officers. 7. Ways of improving the standards and methods of employee recognition; e.g., QSI's and honor awards. 8. Feasibility of establishing standards of expected performance within each branch or division at junior, mid and senior levels (e.g., technical requirements, level of proficiency, time frames) and submitting these to individual employees in memos of understanding. 9. Examination of future skills mix needed, re-tooling implications for present staff and kinds of applicants currently required to meet anticipated future needs (with right combination of skills and Agency experience). 10. Adaptability and "batting average" of career services in allowing transfers of persons who are needed elsewhere for priority tasks or who want to transfer to a suitable job. 11. Adaptability and "batting average" of career services and components in moving people around to meet changing work loads or priorities. 	

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	12. Evidences of poor morale and reasons.	
V. <u>Para. 4, ExDir-Compt Memo dtd 6 Je 72, subj: PMMP -- PMMP could also provide the basis for planning for leadership selection and development.</u>		
See Para. II above.	See Para. II above.	See Para. II above.
VI. <u>Para. 5, ExDir-Compt Memo dtd 6 Je 72, subj: PMMP -- Form 2 of PMMP /CSR/ calls for comment on appropriate items. Others could be highlighted; e.g., a specific report on preparatory steps in career service against the day of ceiling reductions to identify people for counseling, early retirement or movement out of essential.</u>		
None	This suggestion could be accommodated as an appendix to the CSR. It is believed preferable, however, to gather this information in the proposed OP/Personnel Officer review of career service activities.	
VII. <u>Para. 6, ExDir-Compt Memo dtd 6 Je 72, subj: PMMP -- Average age trend (by grade) could be included with breakdown of steps taken in recruitment at younger levels, retirement counseling, statistical goals for young officers in Grades GS-14 and above. PRA situation, and problems.</u>		
None	Over a year ago OP did considerable work in age and grade analysis. The results showed few evidences of serious future problems. Although the statistical and evaluative work is time consuming, OP should look at the picture again within the next year, preferably after we have the benefit of the results of PMMP and the OP/Personnel Officer review of career service activities.	
VIII. <u>Para. 7, ExDir-Compt Memo dtd 6 Je 72, subj: PMMP -- PMMP would seem a highly appropriate vehicle to implement our EEO program of goals and measurement of progress. Para. 3, ExDir-Compt Memo to EEOO dtd 12 Je 72, subj: Equal Employment Opportunity Program -- Have suggested consolidation of EEO planning with overall personnel planning in annual PMMP exercise. Appreciate EEOO and D/Pers working together to integrate EEO program.</u>		

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None	Para. IV asserts PMMP is a key but not the only system for establishing an overall personnel planning process. It seems preferable to work towards the integration of personnel planning and EEO planning by supplementing daily contacts with discussions in the career service activities review.	
) <u>Para. 8, ExDir-Compt Memo dtd 6 Je 72, subj: PMMP -- Could PMMP be vehicle for statistical report on the degree to which vacancy notices were issued and degree of success?</u>		
None	This item could be included in career service activities review applicable to those Offices in which it is used. Will further consider VN's.	
X. <u>Para. 9, ExDir-Compt Memo dtd 6 Je 72, subj: PMMP -- PMMP should be basis for career services to plan for and report on training (core courses, language courses or waivers and skills courses). Would give some reflection of best integration of training and development.</u>		
None	This suggestion could be accommodated as an appendix to the CSR. It is believed preferable, however, to gather this information in the proposed OP/Personnel Officer review of career service activities.	
) <u>Routing Sheet ExDir-Compt Comment on D/Pers Memo dtd 3 Jul 72, subj: Review of Personal Rank Assignments -- This is the sort of action I would hope to see integrated into an overall PMMP.</u>		
	This could be done, but it would be better to make an annual review separately with the intention of reviewing the results with the Deputy concerned and a summary of the Agency results with the ExDir-Compt.	

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ROUTING AND RECORD SHEET

SUBJECT: (Optional)				
FROM: Director of Personnel 5 E 56 Headquarters		EXTENSION 6825	NO.	
			DATE	
TO: (Officer designation, room number, and building)	DATE		OFFICER'S INITIALS	COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)
	RECEIVED	FORWARDED		
1. Deputy Director for Support				<p>1. To facilitate the discussion you requested with me and my staff on PMP, Executive Development, and other matters related to overall personnel planning, I am submitting the attached. It seeks to be responsive to your comments on these subjects, as contained in the following Memorandums:</p> <p>Memo dtd 30 Je 72, Leadership and Executive Development Memo dtd 9 Je 72, PMP Memo dtd 12 Je 72, Evaluation and Productivity Memo dtd 12 Je 72, Equal Employment Opportunity Program Routing Sheet Comment re integration of PRA's and PMP dtd 3 July 72</p> <p>2. The attachment summarizes my reactions to your basic comments within the Referent Memorandums in the following manner: previous proposals, suggested actions to be taken, and suggested target dates for completion.</p> <p>3. In thinking about future actions to be taken, I have been guided by your desire to increase the awareness and participation of the Deputy Directors in major personnel actions. The paper also seeks to identify the various personnel sub-systems of action and review which in conjunction with PMP would provide the bases for an integrated personnel planning program, complementary to program and fiscal budgeting.</p>
2. Executive Director-Comptroller				
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